



Living Marine Resources Program

APPENDIX A PROPOSAL SUBMISSION AND EVALUATION GUIDE

Version 4: August 2015

1 Introduction

The mission of the Living Marine Resources (LMR) program is to improve understanding of the occurrence, exposure, response, and consequences of marine species near Navy at-sea training and testing activities. The LMR program is responsible for funding applied research and works to transition the results for use within the Navy's at-sea environmental compliance and permitting processes, with the goals of improving marine species impact analysis (including marine mammal take estimates), mitigation measures and monitoring capabilities. Key points of the LMR mission statement are:

- Improve the best available science regarding the potential impacts to marine species from Navy activities;
- Improve the technology and methods available to the U.S. Navy marine species monitoring program; and
- Preserve core Navy readiness capabilities.

What Are The LMR Priority Species?

The LMR program is interested in increasing knowledge and understanding of all marine mammal species. However, in order to provide some guidance on research priorities, below is a list of priority marine mammal species:

- Deep diving species (Cuvier's beaked whale, other beaked whales, and other deep diving species)
- ESA-listed species (large whales)

In addition to marine mammal species, the LMR program is also interested in increasing knowledge and understanding of the potential impacts to sea turtles, diving sea birds, and fish when specifically requested in the need.

What Are The LMR Priority Geographic Regions?

The LMR program is primarily interested in funding research that is applicable to geographic regions that are important to the U.S. Navy. **Figure 1** shows a map of the LMR program priority geographic regions. It is important to note that the LMR program acknowledges that some field research may be better suited outside of these geographic regions due to a variety of factors.

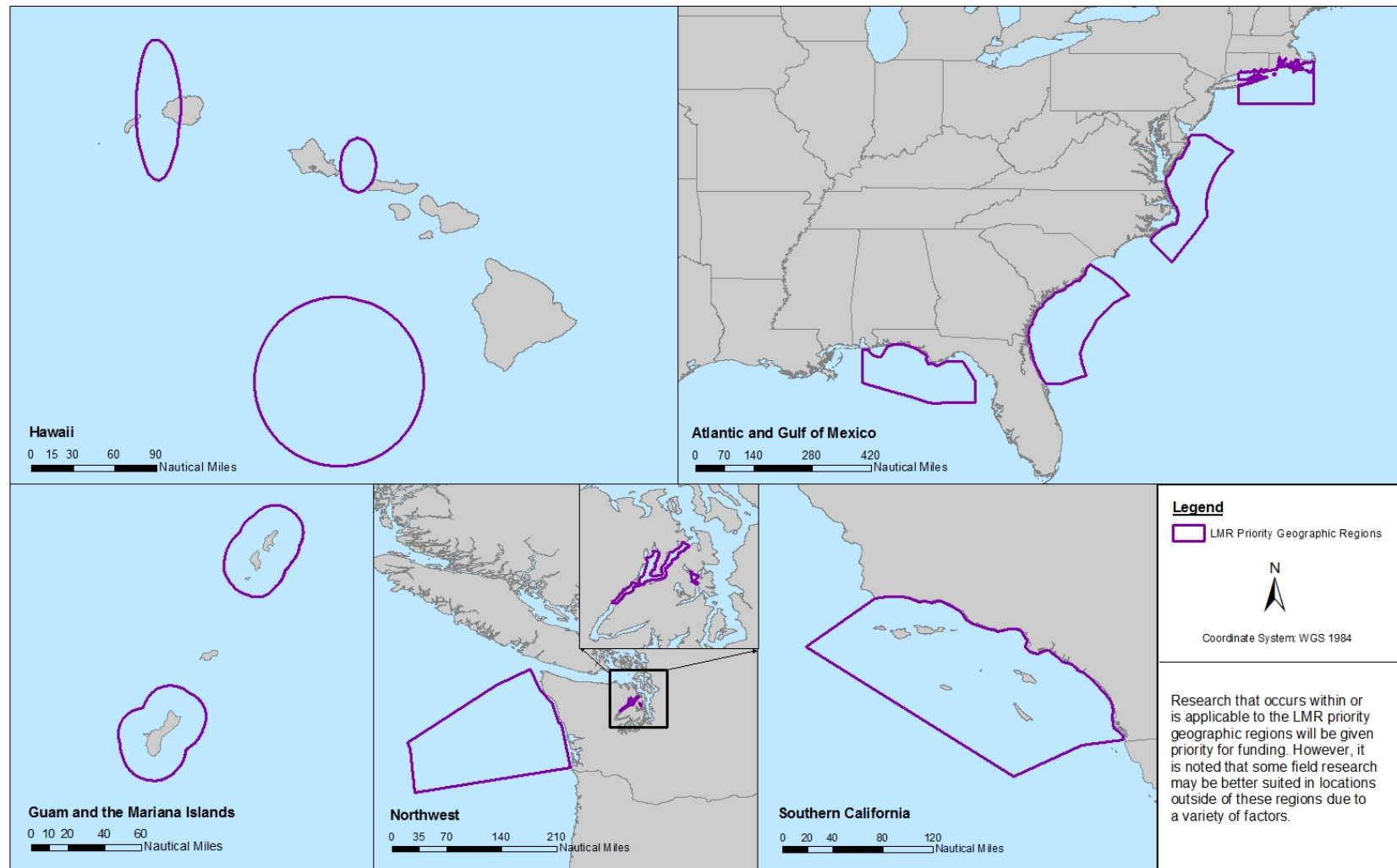


Figure 1. LMR Priority Geographic Regions

2 Pre-Proposals

What Is a Pre-proposal?

The LMR program bases its investments on environmental needs that are announced as specific topics in the Broad Agency Announcement (BAA) solicitation. The BAA solicitation, which is posted on Navy Electronic Commerce Online (<https://www.neco.navy.mil>) and on Federal Business Opportunities (<http://www.fbo.gov>), specifies the need topics for the current funding cycle.

All qualified applicants interested in responding to a specific need topic in the BAA solicitation are required to submit a pre-proposal through the LMR website. Pre-proposals allow for the quick evaluation of the technical merit, appropriateness, feasibility, and overall budget of the proposed project. After the evaluation of the pre-proposals, each author will be notified via email of the results. If the LMR Program is interested in a pre-proposal, we will request a full proposal including a detailed plan and budget.

When Can I Submit My Pre-proposal?

The LMR program accepts pre-proposals only during open season, which will be specified on the Web site <http://www.lmr.navy.mil/Preproposals.aspx>. Typically the submission period starts in late summer, or early fall, and is open for approximately 45 days.

How Do I Submit My Pre-proposal?

All pre-proposal submissions are collected on the LMR website. A Microsoft Word [template](#) is available to facilitate offline preparation of pre-proposals prior to website submission. When using the template, consider that special characters and formatting in Word, such as tables and bullets, will be lost when cut, pasted, and submitted to the website.

Once you are ready to submit your pre-proposal, access <http://www.lmr.navy.mil/PreProposals.aspx>. See **Figure 2**.

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For more information on what is required in a pre-proposal, guidance on LMR priority species and geographic regions, how to submit via the LMR website, and how proposals are evaluated, read [Appendix A – Proposal Submission and Evaluation Guide](#).

Pre-Proposal Submission Period: 04 September through 23 October 2015 8:00:00 PM eastern time.
The LMR program is currently accepting pre-proposal submissions for valid needs 04 September through 23 October 2015 8:00:00 PM eastern time.

Pre-Proposal Reference Materials:
[N39430-15-R-XXXX](#) – This is the current solicitation for pre-proposals which references the following supplemental appendices:

- [Appendix A – Proposal Submission and Evaluation Guide](#)
- [Appendix B – Data Rights and Handling Procedures Agreement](#)
- [Appendix C – Geospatial Data Requirements](#)
- [Appendix D – U. S. Navy Handling Procedures for Ocean Observing Systems \(OOS\) Data](#)
- [Appendix E – Ocean Observing Systems Awareness and Compatibility Memorandum](#)
- [LMR Pre-Proposal Submission Template](#) – A Microsoft Word template is provided to facilitate offline preparation of pre-proposals prior to website submission due to the inability to save a draft during the submittal process. When using the template, please consider that special characters and formatting in Word, such as tables and bullets, will be lost when cut, pasted, and submitted to the website.

To Submit a Pre-proposal:
1. Indicate if the submitting organization is federal government or private:

Indicate if the submitting organization is federal government or private/academia then click the link to access the submission form.

Figure 2. LMR Pre-Proposal Webpage

Indicate if the submitting organization is Private/Academia or Federal Government at the bottom of the page. Then click the link to access the submission form. **Figure 3** shows the pre-proposal submission form.

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Pre-proposal Submission Form [See Appendix A – Proposal Submission and Evaluation Guide](#)

Private/Academia Submission Under Broad Agency Announcement (BAA) [N39430-15-R-XXXX](#) Posted On [NECO](#) and [FEDBIZOPS](#)

Submitter/organization Information (all fields required)

Name: Organization Name:
Phone: Address:
E-mail:
Organization Type:

Pre-proposal Details (all fields required)

1. Select The Need Being Addressed [View Selected Need](#)
N-0103-16; MARINE SPECIES HEARING RESEARCH RELATED TO THE ACOUSTIC EFFECTS CRITERIA
N-0102-16; BEHAVIORAL RESPONSE RESEARCH TO STUDY THE EFFECTS OF SOUND ON MARINE MAMMALS

2. Title (150 Character Limit)

3. Provide Cost Estimates By Calendar Year (CY)
None Provided, [Add a CY Cost Estimate](#)

4. Technical Approach (2000 Word Limit)

Figure 3. Pre-proposal Submission Form.

What Information Is Required In a Pre-proposal?

1. Select the Need Being Addressed
 - Select the applicable need topic (from the list provided) that your proposal addresses.
2. Title
 - Provide the title of your proposed project.
3. Total Cost Estimates for the Proposal by Calendar Year
 - Provide total costs estimated to execute the project to completion broken out by calendar year (January-December).
 - Assume for Year 1 of your project that effort will begin in August due to the time it takes to get a contract in place. It is assumed in Year 1 (August-December) of the project your cost estimate should only include effort associated with basic initiation of the project and that the majority of effort would take place in Year 2 and beyond.
 - In addition to any other relevant travel required for the project, please include a trip for the PI to attend the In-Progress Review (IPR) meeting each year (fall) in Port Hueneme, CA to present on the progress of the project.
4. Technical Approach (limited to 2000 words)
 - Describe the proposed project and any relevant supporting background information.
 - Clearly state how the proposed project addresses the BAA need topic.
 - If applicable, discuss the demonstration and validation phase of the research effort.

- Provide supporting information that the approach or technology is mature enough for applied research funding (include any references). If the proposed project includes basic research elements, clearly break out the basic vs. applied aspects of the project.
 - Describe performance criteria to measure success of the research effort.
 - Discuss any aspects of the project that include leveraged funding from other programs.
 - Describe the potential limitations or technical risks that may pose a challenge to the success of the project.
5. Offeror's Experience (limited to 200 words)
- Provide evidence/examples the offeror has experience related to the solution being proposed.
6. Principal Investigator's and Key Team Member's Related Experience
- Provide the names, highest degree, organization/affiliations, location, and years of experience for each Principal Investigator (PI) and key team member.
7. Navy Benefits (limited to 500 words)
- Describe the expected benefits of the proposed project to the Navy and the key issues it addresses in the BAA need topic.
 - Describe the potential application of the results from the project. Include if the results of the project are applicable to other/multiple LMR Priority Species or Geographic Regions (Section 1).
 - Discuss the advantages of the proposed project over current approaches (technology, methods, costs, etc.).
8. Product Implementation (3 Elements)
- a) Products and Deliverables (limited to 200 words):
- Describe the intended product(s) and all associated deliverables.
- b) Implementation Requirements (limited to 500 words):
- Identify the intended end user of the product (i.e. Navy marine species monitoring program, Navy environmental compliance community [MMPA, ESA, NEPA, etc.], general scientific community, etc.).
 - Describe the planned method by which the product will be transitioned to end users (i.e. publication, technology, method, etc.).
 - Specify how implementation methods may differ to reach appropriate audiences (i.e. Navy, regulators, scientific community, etc.) and any restrictions that may apply (i.e. permits, patents, proprietary technology or data, existing agreements, etc.).
 - Describe any proposed guidance documentation that will assist in future implementation.
- c) Technical Risks (limited to 200 words):
- Describe the potential technical risks that may pose a challenge to successful implementation of the product(s).

What Happens After I Submit My Pre-proposal?

Once your pre-proposal is submitted, the following actions occur:

1. You will receive a confirmation email from the LMR website.
2. After the pre-proposal submission deadline, the LMR program manager notifies members of the LMR Advisory Committee (LMRAC), and any applicable Technical Review Committee (TRC) members, to evaluate your pre-proposal. LMRAC members and any assigned TRC members submit their evaluations to the website. The evaluation criteria used is standardized and is described in detail below.

3. The LMR program manager schedules a final evaluation meeting with all LMRAC members. This meeting leverages all LMRAC/TRC evaluations previously submitted on your pre-proposal to arrive at a final evaluation.
4. Final pre-proposal evaluations are typically completed within 2 months and you will be notified of the results via an automated e-mail from the LMR website.
5. Authors of successful pre-proposals are then invited to submit full proposals which provide more detailed information. The full proposal process is described in detail in Section 3.

How is my Pre-proposal Evaluated?

The LMR program uses the following 5 criteria for each LMRAC (and any applicable TRC) member to evaluate a pre-proposal:

1. Does the proposal adequately address the BAA need topic?
 - Exceeded the Requirements
 - Met the Requirements
 - Susceptible of Meeting the Requirements
 - Did Not Meet the Requirements
2. Do the qualifications, capabilities, and experience of the offeror, principal investigator, and key team members meet the requirements for achieving the proposal's objectives?
 - Exceeded the Requirements
 - Met the Requirements
 - Susceptible of Meeting the Requirements
 - Did Not Meet the Requirements
3. Are the costs relative to the proposal's approach reasonable?
 - Reasonable
 - Suspect—High
 - Suspect—Low
 - Unreasonable—High
 - Unreasonable—Low
4. What is the anticipated benefit of the project to the Navy?
 - Significant Impact
 - Moderate Impact
 - Little Impact
 - No Impact
5. How feasible is it to implement the products/results of the project?
 - Highly Feasible
 - Moderately Feasible
 - Somewhat Feasible
 - Cannot be implemented

In addition to the five criteria used to evaluate a pre-proposal, each LMRAC member is asked to provide a description of the strengths and weaknesses. Then the following overall evaluation and disposition is given:

Provide an overall evaluation of how the pre-proposal meets the requirements:

- Exceeded the Requirements
- Met the Requirements
- Susceptible of Meeting the Requirements
- Did Not Meet the Requirements

Provide a Disposition:

- Request a Full Proposal
- Do NOT Request a Full Proposal

Once all evaluations are complete, the LMRAC members discuss the results and rank the pre-proposals that were given a disposition of "Request a Full Proposal" in order of preference based on strengths and weaknesses. The LMR program manager and OPNAV N45 sponsor then determine the number of full proposals that should be requested based on the available budget and associated costs estimated in the top pre-proposals. Authors of successful pre-proposals are then invited to submit full proposals via an email from the LMR program website.

3 Full Proposals

What Is a Full Proposal?

A full proposal is a more detailed version of the pre-proposal, including additional items such as project tasks, milestones, and budget. In addition, the full proposal gives the offeror the opportunity to address comments received from the LMRAC on their pre-proposal.

How Do I Submit My Full Proposal?

After submission of a pre-proposal, each offeror will receive an LMR program website account with a logon ID and password. Successful pre-proposal offerors will receive additional instructions on how to use their website account to submit a full proposal. Once invited, the offeror has 30 days to submit a full proposal via the LMR program website.

What Additional Information Is Required In a Full Proposal?

1. Select the Need Being Addressed
 - No change needed.
2. Title
 - No change needed.
3. Total Cost Estimates for the Proposal by Calendar Year
 - If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.
 - Provide an estimate of planned expenditures by task/milestone for the entire project.
 - Upload financial details using the template that will be provided to you.
4. Technical Approach
 - If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.
 - Provide a detailed task/milestone breakdown for the entire project.
5. Offeror's Experience
 - If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.
 - For private (non-government) offerors, provide your Experience Modification Rate (EMR) and Days Away, Restricted and Transferred (DART) rate. If a private offeror does not have an EMR/DART rating, explain why.
6. Principal Investigator's and Key Team Member's Related Experience
 - If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.
 - Upload the PI's Curriculum Vitae (CV) or Short Biography.
7. Navy Benefits
 - If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.

8. Product Implementation

- If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.

How is my Full Proposal Evaluated?

The LMR program uses the same 5 criteria outlined for a pre-proposal to evaluate a full proposal. The only exception is that the following additional criterion is used for non-government submissions:

Did the Offeror provide acceptable EMR/DART ratings or a valid reason why they were not provided (non-government submissions only)?

- Yes
- No

In addition to the six criteria used to evaluate a full proposal, each LMRAC member is asked to provide a description of the strengths and weaknesses. Then the following overall evaluation and disposition is given:

Provide an overall evaluation of how the full proposal meets the requirements:

- Exceeded the Requirements
- Met the Requirements
- Susceptible of Meeting the Requirements
- Did Not Meet the Requirements

Provide a Disposition:

- Recommend Funding the Effort
- Do NOT Recommend Funding the Effort
- On Hold

Once all evaluations are complete, the LMRAC members discuss the results and rank the full proposals that were given a disposition of "Recommend Funding the Effort" in order of preference based on strengths and weaknesses. The LMR program manager and OPNAV N45 sponsor then determine the number of full proposals that should be funded based on the available budget and associated costs estimated in the top full proposals. Authors of successful full proposals are notified via an email from the LMR program website.